NAVHOSP29PALMSINST 5230.lB
Code 0103
24 October 1997

NAVAL HOSPITAL TWENTYNINE PALMS INSTRUCTION 5230.lB

From: Commanding Officer

Subj: INFORMATION MANAGEMENT/INFORMATION TECHNOLOGY (IM/IT)
       POLICIES AND PROCEDURES

Ref: (a) The Naval Health Information Management/Information
           Technology (IM/IT) Program Plan Handbook, April 1997
       (b) Joint Commmission on Accreditation of Healthcare
           Organizations (JCAHO) Manual, Current Edition
       (c) BUMEDINST 5230.5A
       (d) NAVHOSP29PALMSINST 5239.1
       (e) SECNAVINST 5231.lC

Encl: (1) IM/IT Definitions
       (2) Navy Hospital, Twentynine Palms Hardware and Software
           Standards
       (3) Guidelines for Preparing an IM/IT Request Form
       (4) IM/IT Request Form
       (5) IM/IT Request Form Approval Process

1. <u>Purpose</u>. To establish policies and procedures to acquire and
manage (IM/IT) resources and to establish the Information Manage-
ment/Information Technology Board (IM/IT Board), the Automated
Information Systems Working Group (AISG), and the Data Quality
Team.

2. <u>Cancellation</u>. NAVHOSP29PALMSINST 5230.1A.

3. <u>Background</u>. The command IM/IT plan follows a Life Cycle
Management (LCM) approach. Under LCM guidelines, the
documentation and approval requirements for IM/IT projects have
been streamlined significantly. Enclosure (1) provides guidance
in defining IM/IT resources. The IM/IT Board is established
following the guidance set forth in references (a) and (b).

4. <u>Composition of IM/IT Board</u>. The IM/IT Board will be
established by the Commanding Officer pursuant to reference (a).
Members will include:

    a. Director for Administration

    b. Head, Management Information Department (MID)

    c. Comptroller

    d. Head, Materials Management

    e. Head, Patient Administration

    f. Head, Managed Care Department

    g. Medical Staff Member as assigned by the DSS/DMS

    h. Nursing staff member as assigned by the DNS

    i. Ancillary Services representative as assigned by the DAS

    j. Command Librarian

    k. Chairman, Data Quality Team

5. <u>Composition of AISG Board</u>. The AISG Board will be established by the Commanding Officer pursuant to reference (a). Members will include:

    a. Assistant Head, MID

    b. Systems Administrator, MID

    c. Computer Specialist, MID

    d. CHCS System Administrator, MID

6. <u>Composition of Data Quality Team</u>. The Data Quality Team will be established by the IM/IT Board and headed by the command Comptroller. Members will include:

    a. Managed Care Representative

    b. Command Medical Expense and Performance Reporting System (MEPRS) Coordinator

    c. Command Performance Improvement (PI) Representative

    d. Command Health Benefits Advisor (HBA) Representative

    e. Pharmacy Representative

    f. Composite Health Care System (CHCS)/Ambulatory Data System (ADS) Representative

    g. Nursing Representative

7. <u>Action</u>

    a. The Commanding Officer may grant technical approval for small computer systems with a unit acquisition cost of $25,000 dollars or less subject to the following conditions and restrictions as per reference (b):

      (1) All small computer systems must meet the hardware standards delineated in enclosure (2).

      (2) Technical approval may be granted for peripheral upgrades associated with existing systems. Examples of items considered peripheral upgrades include document scanners, printers (to include laser printers and color printers), digital cameras, video teleconferencing equipment, PC based video monitoring, and network cards to expand existing networks.

      (3) All IM/IT requests for tempest-rated systems must be forwarded to NMIMC, Bethesda, Maryland, with a copy to NMIMC DET, San Diego, California, for further review and processing.

      (4) Technical approval may be granted for the procurement of the software listed in enclosure (2) as well as nonstandard software and upgrades for the named software. Commercial Off-The-Shelf (COTS) software purchases are preferred over customized software application development.

      (5) Technical approval may be granted for small computer systems, provided such systems do not:

      (a) Require support for more than one work center or department.

      (b) Require custom software development.

      (c) Propose replacement, modification, or duplication of the functions of centrally managed systems.

      (d) Address areas for which centrally developed systems are either planned or are suitable. These systems either support collection of information for reporting to higher authority or provide support for functional areas which could be used at other activities.

      (e) Require special interest acquisitions (sole source procurement and leases).

  b. The Information Management/Information Technology Board (IM/IT Board) will:

      (1) Establish overall organization, planning, and development of the local IM/IT Plan.

      (2) Ensure functional and technical plans and requirements for IM/IT are integrated to conform with Department of Defense (DoD),Department of Navy (DoN), and Bureau of Medicine and Surgery (BUMED) requirements.

(3) Recommend the addition or elimination of any LCM documentation during the entire life cycle of an IM/IT request.

(4) Establish criteria for the prioritization of new and modified IM/IT requests.

(5) Develop IM/IT goals and objectives, Plans of Action and Milestones (POA&M) to meet goals and objectives, as well as ensuring continuous progress.

(6) Schedule periodic reviews of all IM/IT resource requests, programs, and projects within an activity.

(7) Review the Naval Medical Information Management Center (NAVMEDINFOMGMTCEN) website/bulletin board for information regarding on-going or planned projects at other sites, as well as forwarding ideas to NAVMEDINFOMGMTCEN for purposes of ensuring claimancy-wide elimination of duplicative efforts.

(8) Ensure compliance with DoD(HA), DoN, BUMED, and local directives, instructions and guidance.

(9) Report to the Board of Directors quarterly on IM/IT progress.

c. The Automated Information Systems Working Group (AISG) will:

(1) Review all requests for IM/IT equipment and software and recommending approval/disapproval to the IM/IT Board.

(2) Streamline the automated information systems procurement process.

(3) Ensure security of automated information systems.

(4) Advise the IM/IT board on new technology.

(5) Develop goals, strategies, and tactics with time-lines to meet the needs of the commands internal and external customers.

(6) Report to the IM/IT board at least monthly and collaborate as needed.

d. The Data Quality Team will:

(1) Compile all required metrics for submission to the IM/IT board on a monthly basis.

(2) Identify suspected process problems contributing to any data quality metric that does not meet minimum levels of acceptability, generally less than 95% accuracy.

(3) Keep the IM/IT board appraised of monthly progress with graphic representation of the metric results.

e. The Comptroller will:

(1) Review all requests for small computer systems to ensure availability of funds.

(2) Approve requests for purchase upon receipt of technical approval and verification of availability of funds.

f. The Head, Material Management Department will keep the command IM/IT board appraised of all recurring requirements regarding small computer systems contracts.

g. Department Heads will:

(1) Identify areas where the application of IM/IT may benefit the command.

(2) Follow the procedures found in enclosure (3) when requesting IM/IT processing.

(3) Document IM/IT requirements in the format of enclosure (4), using the guidelines presented in enclosure (3).

(4) Submit IM/IT requirements to the Automated Information Systems Working Group.

(5) Support the development of IM/IT projects by assigning knowledgeable individuals to automated systems.

(6) Ensure compliance with prescribed security requirements identified in the commands Information Systems Security Program, reference NAVHOSP29PALMSINST 5239.1.

(7) Ensure departmental funding is available for the initial purchase of the small computer system and continuing purchase of supplies and maintenance.

6. Applicability. The provisions of this instruction are applicable to all users of computer hardware/software and other office automation systems under the cognizance and control of this command.

7. Forms. Information Management/Information Technology Request Form, NAVHOPS Form 5230/2 may be obtained from both the Central Files and Management Information Departments.

R. S. KAYLER

Distribution:
List A

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                                   NAVHOSP29PALMSINST 5230.1B CH-1
                                   Code 0103
                                   12 Jul 99
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NAVAL HOSPITAL TWENTYNINE PALMS INSTRUCTION 5230.1B
CHANGE TRANSMITTAL 1

From: Commanding Officer

Subj: INFORMATION MANAGEMENT/INFORMATION TECHNOLOGY (IM/IT)
       POLICIES AND PROCEDURES

1. Purpose. To direct pen and ink change to the basic
instruction.

2. Action. On page 2, paragraph 6, line 2, delete "Commanding
Officer" and replace with " IM/IT Board and headed by the command
Comptroller."

3. Filing Instructions. This change transmittal will be filed
immediately following the signature page of the basic
instruction.

                                   J. M. HUBER

Distribution:
List A

IM/IT DEFINITIONS

1. Federal Information Processing (FIP) Resource. Any resource
(i.e.. equipment, software, services, supplies, or spare parts)
used in the automation acquisition, storage, manipulation,
management, movement, control, display, switching, interchange,
transmission, or reception of data or information as defined in
the Federal Information Resource Management Regulation (FIRMR).
Such resources are used for data processing, word processing,
office automation, data and voice communications, and other
information processing functions. Electronic typewriters which do
not have memory capability are specifically excluded from this
definition. The definition of FIP resource encompasses the items
previously known as word processing equipment (WPE), automated
data processing equipment (ADPE), and information system (IS)
equipment and specifically includes:

     a. Data processing and switching equipment such as
mainframes, minicomputers, and microcomputers; analog and digital
private branch exchanges (PBX); digital imaging equipment.

     b. Telecommunication and voice communication networks; local
and widearea networks; terminals; modems; data encryption devices;
packet switching equipment; lightware, microwave, or satellite
transmission and receiving equipment; cellular telephone
equipment; and facsimile equipment.

     c. Ancillary equipment such as disk drives, tape drives,
printers, cables, storage and backup devices, digital imaging
equipment, optical storage and retrieval equipment, computer
generated microfilm, and office automation equipment designed to
operate with or controlled by a computer system.

2. Information Systems Equipment (ISE). Any technology used to
process (i.e., collect, store, refine, combine, communicate, or
retrieve) information. Information systems equipment includes
hardware and software used for information processing functions,
now referred to as FIP. Hardware and software standards are
detailed in enclosure (2).

3. IM/IT Request Form. Reference (c) discusses the IM/IT Request
and requires the use of an IM/IT Request Form to identify
requirements and plans for acquiring a small computer system.
IM/IT Request formats and preparation guidelines are provided in
enclosures (4) and (5).

4. Small Computer Systems. Information systems with a unit
acquisition cost of less than $25,000 are small computer systems.

Reference (c) grants Echelon 4 activities technical approval
authority for small computer systems with a unit acquisition cost
of $25,000 or less.

5. <u>Life-Cycle</u>. The projected period of time a FIP
system or service is expected to operate. Normally a
seven year life-cycle will be used for planning and
costing purposes. Exceptions to this rule may be
justified on a case by case basis.

6. <u>Life-Cycle Cost</u>. All costs incurred to implement, operate,
and maintain a FIP system during its planned life-cycle. This
specifically includes, but is not limited to, equipment and
software costs, maintenance, programming support, contracted
operations support, personnel costs, and supplies.

Enclosure (1)

NAVAL HOSPITAL TWENTYNINE PALMS
HARDWARE AND SOFTWARE STANDARDS

Pursuant to reference (d), the following guidelines are established.

<u>Workstation Hardware</u>: All newly acquired personal computers, at a minimum, will consist of the following: Pentium 266 or greater, 64MB RAM, 6GB hard disk storage (using either IDE or SCSI controllers), 12X or greater CD-ROM, 3.5" 1.44MB floppy drive, Super VGA capability with MPEG/3D support, Microsoft compatible mouse, minimum of four available expansion slots PCI or better, two serial ports, one parallel port, Windows NT Workstation compatible, POSIX/UNIX upgradability, and a network interface card meeting the specifications stated below. Systems using applications requiring higher performance or greater storage capacity should be configured accordingly. High performance UNIX workstations must utilize a POSIX compliant operating system.

<u>Standard Software</u>:

As required by NMIMC guidelines, this command will utilize Microsoft Office PRO as their primary suite of applications. This package consists of:

Word Processing: Word 97
Spreadsheet: Excel 97
Database: Access 97
Presentation Software: PowerPoint 97

In addition, the standard operating System of choice will be Windows NT Workstation 4.0.

E-Mail will be Post.Office with end users utilizing MS Exchange or MS Outlook.

WWW Browser will be MS Internet Explorer.

<u>Nonstandard Software</u>: Nonstandard software programs may be used whenever it is determined that the above standard software applications will not provide the required level of support. This determination must be supported by identification of specific shortfalls inherent in using the standard software to perform the required function.

The use of nonstandard software will be limited to minimum requirements only. Nonstandard software will not be proliferated without specific IM/IT board approval.

<u>Network Hardware and Software</u>: 10BaseT 32 bit Ethernet card providing both RJ-45 and AUI ports and a transceiver with associated operating system and telnet software.

<u>Communications Hardware (Non-Network)</u>: Hayes compatible modem, 33.6/56 K baud asynchronous, V.32bis/V.42/V.42bis compliant.

<u>Network Architecture</u>: Ethernet IEEE 802.3, TCP/IP, GOSIP, X.25, DISN portability, OSI baseline standards, Lattisnet concentrators, fiber optic building and campus backbone, 10BaseT unshielded twisted pair to workstations.

IM/IT REQUEST PROCESSING GUIDELINES

1. General Guidelines. The IM/IT Request Form described in enclosure (4) will be used. The following signatures will be required:

    a. Network Manager

    b. Facilities Manager

    c. Department Head

    d. CIO

    e. Chairman, IM/IT Board

    e. Director Signature

    f. Commanding Officer and Comptroller for Unfunded/unplanned requirements only

2. IM/IT Request Processing. The IM/IT Request will be routed to MID. The IM/IT Request may be returned to the requestor from any point of the approval process for additional justification, information, or disapproval. IM/IT Requests for computer systems beyond the Echelon 4 technical approval authority will be submitted to NMIMC Bethesda. IM/IT Requests granted technical approval authority by this command will be authorized for local procurement.

3. AISG Procedures. The AISG will convene and review IM/IT requests at least monthly or at the call of the AISG Chairperson. Minutes of each AISG meeting shall be kept and reflect the action taken on each IM/IT Request considered, as well as any other noteworthy actions or discussion by the group. Each originator of an IM/IT Request shall be notified of the action taken on the IM/IT Request. The AISG shall prioritize approved IM/IT Requests and submit their recommendation for subsequent procurement to the IM/IT Board for final review and approval. An IM/IT Request, approved and signed, becomes the technical approval document required by the Contracting Officer to initiate procurement of a small computer system. The IM/IT Board Chairman shall report the status of proposed procurement requests to the Board of Directors (BOD) on a quarterly basis or as required by the BOD.

4. Expansion of Existing Systems

    a. Procurement of embedded devices which are not separately bootable, and for supplies, spare parts, hardware and software

upgrades or expansions shall require a memorandum to the AISG, attached to the originally approved IM/IT Request, detailing and justifying the desired new hardware or software.

      (1) If the AISG denies procurement approval of the requested hardware/software, the original IM/IT Request will remain in effect for the system.

      (2) If approval is granted for procurement, the IM/IT Request Addendum (memorandum) shall be returned to the requestor. The Chairman, AISG shall then submit a copy of this IM/IT Request Amendment with a DD-1149 to the Material Management Department for procurement processing.

    b. Nonstandard software programs may be used whenever it is determined that the standard software applications will not provide the required level of support. This determination must be supported by identification of specific shortfalls inherent in using the standard to perform the required function and will require review and approval by the IM/IT Board.

    c. The use of nonstandard software will be limited to minimum requirements. Nonstandard software will not be proliferated without specific IM/IT board approval.

    d. Major expansion of a small computer system or reutilization of an existing system by a different functional area or department shall require submission of a new IM/IT Request, citing expansion or reutilization of the existing system as one of the alternative solutions. System expansion shall only be approved if it is the most cost effective method for meeting the requirement.

GUIDELINES FOR PREPARING AN INFORMATION MANAGEMENT / INFORMATION
TECHNOLOGY REQUEST FORM (IM/IT Request) FOR SMALL COMPUTER
SYSTEMS

This enclosure provides guidelines to assist the requestor in
preparing IM/IT Requests to purchase small computer systems. The
information required shall be provided in each section of the
IM/IT Request where applicable. The total length of the IM/IT
Request should be short and limited to the single form if
possible. IM/IT Requests for larger acquisitions should provide
more detail as appropriate to the size and scope of the
acquisition.

1. Block 1

    a. Military Treatment Facility (Name and City): Provide
complete command name and location of the appropriate department
requesting the equipment.

    b. UIC (Unit Identification Number): The UIC for
NAVHOSP29PALMS is 35949.

    c. ECN (Equipment Control Number): Provide unique number,
including date code, assigned for each individual item. This is
required on an amendment request. *This data will be placed on the
original request by MID once the equipment has been procured and
processed by the Command Equipment Manager*.

    d. Branch Medical Clinic: Provide the name, base, and city
for the branch medical clinic for which the equipment is
requested. *Leave blank if the request is not for a branch medical
clinic.*

    e. Branch UIC: Provide the UIC for the branch medical clinic
indicated in the previous block. *Leave blank if the request is
not for a branch medical clinic.*

    f. Date: Use current date.

    g. Requesting Department/Directorate: Provide name of
department and directorate requesting equipment.

    h. Code: Provide any appropriate department or directorate
code.

    i. Department Priority: Enter the priority for the
appropriation year budget submission.

2. <u>Block 2</u>

    a. Item Description: Provide a GENERAL description of the required characteristics, including any additional components and accessories.

    b. Acquisition Cost: The total acquisition cost must include the cost of the requested item plus the costs of all components, accessories, installation, and facility modification. *This data can be supplied by MID by calling X-2446.*

    c. Annual Recurring Cost: The annual recurring cost must include anticipated maintenance and upgrade costs. *This data can be supplied by MID by calling X-2446.*

3. <u>Block 3</u>

    a. Justification:

        (1) Indicate the primary business function (Clinical, Resources, Logistics, or Executive Information) the requested equipment supports.

        (2) Provide a brief description of how the function of the requested item is being accomplished at the present time. If the requested item is to provide a new service, type New Item.

        (3) Provide a statement on the impact of the requested item as to the effect on CHAMPUS, workload, efficiency, productivity, manpower resources, cost reduction, maintenance, etc.. Include increases and decreases.

        (4) Provide information on the impact if the item is not funded in the FY requested (CHAMPUS cost, Supplemental Care Cost, Leasing required, etc.).

        (5) Indicate if training is required.

        (6) Indicate if requested equipment is MHSS (Military Health Support Systems) compliant. If not, explain.

4. <u>Block 4</u>

    a. Equipment: Indicate if the equipment is new, an expansion item to existing inventory, a replacement, or upgrading existing equipment.

Enclosure (4)

      (1) To be completed if the requested item is replacing or upgrading a unit currently in use.

      (2) To be completed if the requested item is replacing a unit currently in use. If the current unit is going to be retained, indicate why it will be retained.

5. <u>Block 5</u>

    a. Network Manager:

      (1) Indicate if any additional infrastructure is required, including cost.

      (2) Indicate if the equipment requires installation and the estimated cost.

      (3) Indicate if a network card is required. If yes, give the type of card, and type of connection.

      (4) Provide any additional considerations.

6. <u>Block 6</u>

    a. Facilities Manager: If block 5a is checked, this is to be completed by the assigned Civil Engineer or Public Works Officer.

7. <u>Block 7</u>

    a. Maintenance and Repair: Indicate the provider and cost of maintenance for the requested item.

8. <u>Block 8</u>

    a. Requesting Department Head: Provide the name, phone number, and signature of the requesting department head.

9. <u>Block 9</u>

    a. Reviewed for Technical Appropriateness: Provide the typed name and signature of the Command CIO (The current DFA at this facility).

10. <u>Block 10</u>

    a. Type of Funding: Indicate the type of funding for which the equipment request is completed. Is it for OP, O&M, MILCON, or other. Include name, date, and signature of Director.

**INFORMATION MANAGEMENT/INFORMATION TECHNOLOGY
REQUEST FORM**

Date:

1. Department:	Directorate:	MID Tracking Number:
Department Heads Signature:	Director's Signature:	Department Priority:

2. Item(s) Requested:

Item Description: (General description and characteristics including ALL components   and accessories) (use additional sheets if required)

Acquisition Cost:	Annual Recurring Cost:

3. Justification: (Use additional sheets if required)

   a. Which business function will the proposed system support:

       _____ Clinical   _____ Resources

       _____ Logistics   _____ Administration

   b. How is the function of the requested item currently being accomplished?

       _____ Manual

       _____ Automated

       _____ Not At All

   c. Brief impact of acquiring item. (Effect on workload, efficiency, productivity, manpower resources, cost reduction, maintenance, include increases and decreases)

   d. Brief statement of impact if item is not funded in the Fiscal Year requested.

   e. Is training required?   _____Yes   _____ No

4. Equipment is: New_____   Expansion_____   Replacement_____   Upgrade

If replacement/upgrade, complete the following:

   a. Item being replace/upgraded: (Provide Description, Manufacturer and Bar Code Number of item)

5. Network Manager:

   a. Is infrastructure planning required(i.e. additional electrical support, drops, wiring, emergency power, A/C, ventilation)?

      Yes_____   No_____   If Yes, estimated cost:

   b. Is installation required?   Yes_____   No_____   If Yes, estimated cost:

   c. Additional considerations:

               Signature of Network Manager   Phone Number

6. If answer #5a is Yes, complete the following:

   Facilities Manager:
   a. Is funding available for required facilities upgrades/improvements? Yes____ No

               Signature of Facilities Manager   Phone Number

7. Maintenance and Repair

   Maintenance/repairs will be provided by:

   _____   In-house Staff

   _____   Warranty   Cost if applicable:_____   Period of Coverage:

8. Reviewed for Technical Appropriateness/MHSS Compliance:

            CIO/MID Signature   Date

9. Review by IM/IT QMB

            Chairman Signature   Date

10. Type of Funding:

   _____   OPTAR   _____   O&M

   _____   MILCOM   _____   Other (Specify)

11. Unfunded/unplanned requirements only:

        Comptroller Signature/Date   Commanding Officer Signature/Date

NAVHOSP29PALMS Form 5230/2 (Rev 10/97)

Enclosure (5)